## COMBINED DECLARAT. I FOR PATENT APPLICATION. D POWER OF ATTORNEY

U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office

		ATTORNET	DOCKET NO.: 044574-3022-01
As a below named inventor, I hereb	y declare that:	,	
My residence, post office address a	nd citizenship are as stated below i	next to my name,	
I believe I am the original, first and are listed below) of the subject matter			
SURVIVIN, A PR	ROTEIN THAT INHIBITS CEL	LULAR APOPTOSIS, AND ITS	MODULATION
the specification of which:			
is attached hereto; or	on Serial No. on Noven	nber 20, 1997 and was amended o	if applicable): or
was filed as PCT international applion (if application)		and was amended under Po	of Article 19
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I hereby state that I have reviewed any amendment referred to above.	and understand the contents of the	above-identified specification, incl	iding the claims, as amended by
I acknowledge the duty to disclose presented in this application in acco			l to the patentability of claims
I hereby claim foreign priority bene	efits under Title 35, United States (	Code, §119 of any foreign application	on(s) for patent or inventor's
certificate or of any PCT internation and have also identified below any	nal application(s) designating at le	ast one country other than the Unite	d States of America listed below
designating at least one country oth	er than the United States of Ameri	ca filed by me on the same subject	matter having a filing date before
that of the application(s) of which p	priority is claimed:		
PRIOR FOREIGN	/PCT APPLICATION(S) AND A	NY PRIORITY CLAIMS UNDE	R 35 U.S.C. §119:
COUNTRY		DATE OF FILING	PRIORITY CLAIMED
(if PCT, indicate PCT)	APPLICATION NUMBER	(day, month, year)	UNDER 35 U.S.C § 119
			[] Yes [] No
			[ ] Yes
			[ ] Yes [ ] No
		·	[ ] Yes [ ] No

	ation For Patent Appose to PCT Internation	plication and Power of Attornonal Applications)	ney - (Continued)	ATTORNEY DOCKI	ET NO.: 044481-5039-01
I hereby listed bel		nder Title 35, United States C	Code §119(e) of any Uni	ted States provisional a	application(s)
		U.S. PROVISION	NAL APPLICATIONS		
U.S. PI	ROVISIONAL APP	LICATION NO.		U.S. FILING DATE	
60/031,435		November 20, 1996			
patent or other that this appl Title 35, informat Title 37,	inventor's certifica in the United States ication is not disclos United States Code ion known to me to Code of Federal Re	nder Title 35, United States Cote, or §365(a) of any PCT into of America that is/are listed besed in that/those prior applica, §112, I acknowledge the dube material to the patentability gulations, §1.56 which became that the patental filing date of this approximational filing date of this approximational filing date.	ernational application we below and, insofar as the tion(s) in the manner pro- ty to disclose to the U.S. ty of claims presented in the available between the	hich designated at leass subject matter of each ovided by the first para Patent and Trademark this application in acc	t one country of the claims of graph of Office all ordance with
UNDER	U.S. APPLICATIO 35 U.S.C. §120:	ONS OR PCT INTERNATIO	ONAL APPLICATIONS	DESIGNATING TH	IE U.S. FOR BENEFIT
iğ 	U.S. APPLICAT	TIONS		STATUS (Check On	e)
U.S. APPLIC	CATION NO.	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
(1)					
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PCT APPI	ICATIONS DESIG	GNATING THE U.S.		STATUS (Check On	e)
PCT APPLN. NO.	PCT FILING DATE	U.S. SERIAL NO.	PATENTED	PENDING	ABANDONED
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Combined Declaration For Patent App		and Power of Attorney - (Continued)
(includes Reference to PCT Internation	al An	inlications)



**POWER OF ATTORNEY:** as a named inventor, I hereby appoint the following attorneys to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

## Morgan, Lewis & Bockius LLP

Robert J. Gaybrick, Reg. No. 27,890; Richard S. Meyer, Reg. No. 32,541; C. Scott Talbot, Reg. No. 34,262; Reid G. Adler, Reg. No. 30,988; J. Michael Thesz, Reg. No. 40,354; John G. Smith, Reg. No. 33,818; Song K. Jung, Reg. No. 35,210; Matthew T. Bailey, Reg. No. 33,829; Jeffrey A. Lindeman, Reg. No. 34,658; John D. Zele, Reg. No. 39,887; Mary Jane Boswell, Reg. No. 33,652; Michael V. Frank, Reg. No. 37,028, Michael P. Tierney, Reg. No. 35,388; Erin Harriman, Reg. No. 40,410; Robert J. Goodell, Reg. No. 41,040 K. Karen Loewenstein, Reg. No. 41,161; Michael S. Lee, Reg. No. 41,434; Howard R. Richman, Reg. No. 41,451; Paul A. Fournier, Reg. No. 41,023.

Direct Telephone Calls To: (name and telephone number) Reid G. Adler 202-467-7756

The undersigned hereby authorizes the registered practitioners of Morgan, Lewis & Bockius LLP to accept and follow instructions from

as to any action to be taken in the Patent and Trademark Office
regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a
change in the persons from whom instructions may be taken, the registered practitioners of Morgan, Lewis & Bockius LLP will be so
notified by the undersigned.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

statements may jeopardize th	e validity of the application or any patent issuing thereon.	
FULL NAME OF SOLE OR FIRST INVENTOR	Dario C. Altieri	
RESIDENCE & CITIZENSHIP	CITY AND STATE OR CITY AND FOREIGN COUNTRY 100 Resevoir Street Hamden, CT 06517	COUNTRY OF CITIZENSHIP ITALY
POST OFFICE ADDRESS		
FIRST OR SOLE INVENTO	OR'S SIGNATURE	DATE 12/4/97
FULL NAME OF SECOND INVENTOR	,	· ·
RESIDENCE & CITIZENSHIP	CITY AND STATE OR CITY AND FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
POST OFFICE ADDRESS		
SECOND INVENTORS SIG	GNATURE	DATE

[ ] Yes [X] No



JANUARY 05, 1999

PTAS

MORGAN, LEWIS & BOCKIUS LLP REID G. ADLER 1800 M STREET, NW WASHINGTON, DC 20036 OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

RECEIVED \*\* \*100827912A\*

UNITED STATE DEPARTMENT OF COMMERCE

Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER

MORGAN, LEWIS & BOCKEDO LAST

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/09/1998

REEL/FRAME: 9439/0997

NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ALTIERI, DARIO C.

DOC DATE: 12/11/1997

ASSIGNEE:

YALE UNIVERSITY
451 COLLEGE STREET

NEW HAVEN, CONNECTICUT 06520

SERIAL NUMBER: 08975080

PATENT NUMBER:

FILING DATE: 11/20/1997

ISSUE DATE:

ANTIONE ROYALE, EXAMINER ASSIGNMENT DIVISION OFFICE OF PUBLIC RECORDS



09-14-1998



U.S. DEPARTMENT OF COMMERCE Patent and Trademark Care

**SHEET** 

10082/912	Attorney Docket No.: 044574-5022-01		
To the Assistant Commissioner for Patents: Please record the attached original documents or copy thereof.	ATTN: BOX ASSIGNMENT		
1. Name of conveying party(ies):	2. Name and address of receiving party(ies):		
Dario C. ALTIERI	Name: Yale University		
Additional name(s) of conveying party(ies) attached?  Yes X No	Internal Address:		
3. Nature of conveyance:	Street Address: 451 College Street		
X Assignment Merger Security Agreement Change of Name Other  Execution Date: December 11, 1997	City: New Haven State: Connecticut Zip: 06520  Additional name(s) & address(es) attached?  YesX_ No		
4. Application number(s) or patent number(s):  If this document is being filed together with a new application the execution date of the application is:  A. Patent Application No.(s): 08/975,080  B. Patent No.(s)  Additional numbers attached:YesX_ No			
5. Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved: 1		
Name: Mr. Reid G. Adler  Internal Address: Morgan, Lewis & Bockius LLP	7. Total fee (37 C.F.R §3.41): \$40.00  X Previously Paid  Authorized to be charged to deposit account 50-0310		
Street Address: 1800 M Street, N.W. City: Washington State: D.C. Zip: 20036	Deposit account number: 50-0310     Attach duplicate of page if paying by deposit account		
<ol> <li>Statement and Signature</li> <li>To the best of my knowledge and belief, the foregoing informathe original document.</li> </ol>	mation is true and correct and any attached copy is a true copy of		
Michael S. Tuscan  Name of Person Signing  Signat	Nucce September 9, 1998 ture Date		
Total mumb or	of pages including cover sheet, excel-ments and decomparts: 2		

FORM PTO-1595 (Rev. 6-93)	U.S. DEPARTMENT OF COMME
(Rev. 6-93) Q6-11-	Patent and Trademark Page 1998 PET
100735	195 Attorney Docket No.: 044574-5022-01
To the Assistant Commission atents: Please record the attached original documents or copy thereof.	ATTN: BOX ASSIGNMENT
1. Name of conveying party(ies):	2. Name and address of receiving party(ies):
Dario C. ALTIERI	Name:
Additional name(s) of conveying party(ies) attached?  Yes _X_ No	Internal Address:
3. Nature of conveyance:	Street Address
_X Assignment Merger Security Agreement Change of Name Other	City: State: Zip:
Execution Date: <u>December 11, 1997</u>	Additional name(s) & address(es) attached?  Yes No
4. Application number(s) or patent number(s):	
If this document is being filed together with a new application the	execution date of the application is:
A. Patent Application No.(s): 08/975,080 B. Pater	nt No.(s)
Additional numbers attached: YesX No	
5. Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved: 1
Name: Mr. Reid G. Adler	7. Total fee (37 C.F.R §3.41): <u>\$40.00</u>
Internal Address: Morgan, Lewis & Bockius LLP	<ul> <li>X Enclosed</li> <li>Authorized to be charged to deposit account 50-0310</li> </ul>
06/03/1998 MPEOPLES 00000033 08975080 Street Address: 1800 M Street, N.W. 1 FCity: Washington State: E0.000 OP Zip: 20036	Deposit account number: 50-0310     Attach duplicate of page if paying by deposit account
9. Statement and Signature	
	nation is true and correct and any attached copy is a true copy of
Reid G. Adler for Wulful S. Turan	P43,210 May 29, 1998
Name of Person Signing Midnells. Tuscan Signat	1.447 =2.1 4770

Total number of pages including cover sheet, attachments and documents:



ATTORNEY DOCKET NO.: 044574-5022-01 SOLE INVENTION (Worldwide Rights)

## **ASSIGNMENT**

WHEREAS I/We, the below named inventor(s), [hereinafter referred to as Assignor(s)], have made an invention entitled:

SURVIVIN, A PROTEIN THAT INHIBITS CELLU	LAR APOPTOSIS, AND ITS MODULATION
for which I/WE executed an application for United States Letters Patent conc United States Letters Patent on <u>November 20, 1997</u> , (Serial No	urrently herewith; or on; or filed an application for; and
WHEREAS, <u>Yale University</u> , a corporation of <u>Connecticut</u> 06510 (hereinafter referred to as Assignee), is desirous of securing the entire throughout the world, and in and to the application for United States Letters I application;	, whose post office address is 451 College Street. New Haven, CT right, title, and interest in and to this invention in all countries Patent on this invention and the Letters Patent to be issued upon this
NOW THEREFORE, be it known that, for and in consideration of valuable consideration the receipt of which from assignee is hereby acknowle over, and do hereby sell, assign, transfer, and set over unto the assignee, its interest in and to this invention and this application, and all divisions, all provunited States which may be granted thereon, and all reissues thereof, and all applications for Letters Patent which may hereafter be filed for this invention on this invention in any foreign country, and all extensions, renewals, and rei Commissioner of Patents and Trademarks of the United States and any official applications as described above, to issue all Letters Patent for this invention this Assignment;	dged, I/WE, as assignor(s), have sold, assigned, transferred, and set awful successors and assigns, MY/OUR entire right, title, and visionals, and continuations thereof, and all Letters Patent of the rights to claim priority on the basis of such application, and all in any foreign country and all Letters Patent which may be granted assues thereof; and I/WE hereby authorize and request the all of any foreign country whose duty it is to issue patents on
AND, I/WE HEREBY covenant that I/WE have the full right to contexecuted and will not execute any agreement in conflict with this Assignment	
AND, I/WE HEREBY further covenent and agree that I/WE will, v successors and assigns, any facts known to ME/US respecting this invention, called upon to do so, execute and deliver any and all papers that may be necesits successors or assigns, execute all divisional, continuation, and reissue application are its successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors, its successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors, its successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors, its successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution of successors and assigns, to obtain and enforce proper patent country, it being understood that any expense incident to the execution, and reissue application and enforce proper patent country, it being understood that any expense incident to the execution, and enforce proper patent country, it being understood that any expense incident to the execution, and enforce proper patent country, it being understood that any expense incident to the execution, and enforce proper patent country, it being understood that any expense incident to the execution of the execution and enforce proper patent country in	and testify in any legal proceeding, sign all lawful papers when ssary or desirable to perfect the title to this invention in said assignee, lications, make all rightful oaths and generally do everything possible t protection for this invention in the United States and any foreign h papers shall be borne by the assignee, its successors and assigns.  e empowered in the Declaration and Power of Attorney in this filed November 20, 1997) the filing date and application number of
County of	Dario C. Altieri
State of	Full Name of Sole or First Assignor
ss.	100 Resevoir Street, Hamden, CT_06517
	Address
II Nijhscribed and sworn to betore me	Address
Subscribed and sworn to before me this day of, 19 97.	First Assignor's Signature
	First Assignor's Signature
this day of, 19 <u>97</u> .	First Assignor's Signature
this day of, 19 <u>97</u> .	First Assignor's Signature
this day of, 19 <u>97</u> Notary Public	First Assignor's Signature
this day of, 19 <u>97</u> Notary Public  County of	First Assignor's Signature
this day of, 19 <u>97</u> Notary Public  County of  State of	First Assignor's Signature                        Date    Full Name of Second Assignor    Address
this day of, 19 <u>97</u> Notary Public  County of  State of SSs.	First Assignor's Signature                        Date    Full Name of Second Assignor
this day of, 19 97.  Notary Public  County of  State of  Subscribed and sworn to before me	First Assignor's Signature                        Date    Full Name of Second Assignor    Address

[x] No

Names of additional inventors attached [ ] Yes



UNITED STALES DEPARTMENT OF COMME

ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231 Jce13 UMWO 09/69#25

AUGUST 13, 1998

PTAS

MORGAN, LEWIS & BOCKIUS LLP MR. REID G. ADLER 1800 M STREET, N.W. WASHINGTON, DC 20036



AUG 1 8 1998

MORGAN, LEWIS & BOCKIUS LLP

11/574-5032-

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF NON-RECORDATION OF DOCUMENT

DOCUMENT ID NO.: 100735195

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THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. THE COVER SHEET SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. THE NAME AND ADDRESS OF THE RECEIVING PARTY(S) MUST BE INDICATED ON THE COVER SHEET.

MAURICE CARTER, EXAMINER ASSIGNMENT DIVISION OFFICE OF PUBLIC RECORDS